



## Environmental Management Consolidated Business Center Ash Fall Project

Document Review

Procedure: AFP-AP-13  
Revision 1, 06/03/16

### Document Review

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**Revision: 1**

**Effective Date is 3 days after the date of approval**

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05/26/16  
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## 1.0 PURPOSE

This procedure describes the process and responsibilities for reviewing documents that relate to the Ash Fall Project supporting the Office of River Protection (ORP) Program.

## 2.0 SCOPE

This procedure delineates the requirements for document review in accordance with the Department of Energy Environmental Management Consolidated Business Center (EMCBC) Ash Fall Project supporting the Office of River Protection (ORP) Program.

## 3.0 APPLICABILITY

This procedure applies to EMCBC personnel and contractors that are directly or indirectly involved in document review of Program Plans, Implementing Procedures, Desk Top Instructions, and Forms to conduct Ash Fall Project activities supporting the ORP Program.

## 4.0 REQUIREMENTS and REFERENCES

### 4.1 Requirements

4.1.1 EM-QA-001, *EM Quality Assurance Program (QAP)*

4.1.2 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*

### 4.2 References

4.2.1 AFP-QAPP-01, *Quality Assurance Project Plan (QAPP)*

4.2.2 AFP-AP-01, *Personnel Qualification and Training*

4.2.3 AFP-AP-12, *Procedure Development*

4.2.4 AFP-AP-20, *Quality Assurance Records*

## 5.0 DEFINITIONS and ACRONYMS

None.

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## 6.0 RESPONSIBILITIES

### 6.1 Review Requester

6.1.1 Responsible for conducting and documenting reviews of documents.

### 6.2 Document Reviewer

6.2.1 Responsible for conducting and documenting reviews of documents.

### 6.3 EMCBC Coordinator, Office of Technical Support and Asset Management

6.3.1 Responsible for configuration control of controlled documents.

6.3.2 Responsible for the maintenance/use, storage, protection, retrieval and final disposition of QA records.

## 7.0 GENERAL INFORMATION

This procedure prescribes the process for reviewing documents. It establishes requirements for conducting various types of reviews, including independent technical, quality assurance, and management reviews, and documenting the resolution of comments using Form 13-1, *Document Review and Comment Record*. Comments resulting from the reviews shall be resolved to the satisfaction of the Document Reviewer.

## 8.0 PROCEDURE

### 8.1 Initiating Document Review

8.1.1 The Review Requester shall select the individual(s) to be a Document Reviewer of document based on the following criteria:

8.1.1.1 Implementing documents that specify technical or QA requirements or prescribe activities that are governed by the EM-QA-001, including changes thereto, shall be reviewed prior to approval and issuance for correctness, adequacy, completeness, accuracy, and compliance with established requirements.

8.1.1.2 The review shall be performed by individuals other than the preparer who are qualified as reviewers per AFP-AP-01, *Personnel Qualification and Training*.

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- 8.1.1.3 The Document Preparer of the document cannot be a reviewer of the document.

### 8.2 Conducting the Review

- 8.2.1 The Review Requester shall provide the Document Reviewer an electronic or hard copy of the document to be reviewed and Form 13-1, *Document Review and Comment Record* with items 1-11 completed.
- 8.2.2 The Review Requester shall provide additional background information or data to the reviewer as applicable or needed by the Document Reviewer.
- 8.2.3 The Document Reviewer documents their comments using Form 13-1, *Document Review and Comment Record* items 19-21. The Document Reviewer shall indicate their review complete by entering "Last Comment" in item 21 after their last review comment.
- 8.2.4 The Document Reviewer shall complete items 12-14 and submit the Form 13-1, *Document Review and Comment Record* to the Review Requester.

### 8.3 Comment Resolution

- 8.3.1 The Review Requester documents the responses to comments using Form 13-1, *Document Review and Comment Record* item 22.
- 8.3.2 The Review Requester completes items 15-16 and then provides the Document Reviewer with Form 13-1, *Document Review and Comment Record* containing the responses to the comments and a concurrence draft document that incorporates those responses to comments. This step can be bypassed if there are no comments or the comments are editorial or minor in nature as determined by the Review Requester.
- 8.3.3 The Document Reviewer reviews the responses that address the comments and that the responses are adequately incorporated into the concurrence draft. This step can be bypassed if there are no comments or the comments are editorial or minor in nature as determined by the Review Requester.
- 8.3.4 If acceptable, the Document Reviewer shall complete and sign Form 13-1, *Document Review and Comment Record* items 17-18 and return it and the concurrence draft of the document to the Review Requester. This step can be bypassed if there are no comments or the comments are editorial or minor in nature as determined by the Review Requester.

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8.3.5 The Review Requester transmits the completed package consisting of Form 13-1, *Document Review and Comment Record*, the review draft, and the concurrence draft of the reviewed document to the EMCBC Coordinator to be processed in accordance with AFP-AP-20, *Quality Assurance Records*. If the document is an implementing document, the EMCBC Coordinator shall also process the package in accordance with AFP-AP-12, *Procedure Development*.

## 9.0 RECORDS

### 9.1 Nonpermanent QA Records

9.1.1 The forms generated through implementation of this procedure shall be prepared and submitted to the EMCBC Records Management Center in accordance with AFP-AP-20, *Quality Assurance Records*.

9.1.2 Form 13-1, *Document Review and Comment Record*.

## 10.0 FORMS USED

Form 13-1, *Document Review and Comment Record* (including Instructions).

## 11.0 ATTACHMENTS

None.

## Form 13-1 – Document Review and Comment Record

1. Document Number: \_\_\_\_\_

3. Revision Number: \_\_\_\_\_

2. Document Title: \_\_\_\_\_

4. Draft Designator: \_\_\_\_\_

### Review Information

#### Document Review Criteria

5. ☐ Standard Review Criteria – Specify \_\_\_\_\_
- ☐ Specific Review Criteria – Specify Source \_\_\_\_\_
- ☐ Specific Review Criteria – *Attached*

6. Document Preparer (print name): \_\_\_\_\_

7. Review Requester (print name): \_\_\_\_\_

8. Total Number of Reviewers: \_\_\_\_\_

9. Reviewer

10. Organization

11. Review Criteria

### Conduct of Review

12. Reviewer (print name): \_\_\_\_\_ 13. Organization: \_\_\_\_\_ 14. Date: \_\_\_\_\_

### Comment Resolution and Review Concurrence

15. Revision Number: \_\_\_\_\_ 16. Draft Designator: \_\_\_\_\_

17. Reviewer: \_\_\_\_\_  
Print Name Signature

18. Date: \_\_\_\_\_

Form 13-1 – Document Review and Comment Record

1. Document Number:

2. Document Title:

3. Revision Number:

4. Draft Designator:

19. Comment	20. Location	21. Comment	22. Response

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## **Form 13-1 – Document Review and Comment (DRC) Record Instructions**

- 1) The Review Requester identifies the unique number of the document being reviewed, if applicable (e.g., AFP-AP-12).
- 2) The Review Requester indicates the title of the document being reviewed. (e.g., *Implementing Documents*)
- 3) The Review Requester identifies the revision of the document being reviewed.
- 4) The Review Requester identifies the alpha-designator of the draft being reviewed (e.g., DRAFT A).
- 5) The Review Requester marks one of boxes for the applicable review criteria to be used for the Document Review and then completes this block in accordance with the guidance below:

### For Standard Review Criteria – Specify

The Review Requester will specify the criteria to be used to conduct the Document Review by writing it in on the specify line (e.g., Standard Review Criteria, if just using the criteria within AFP-AP-12).

### Specific Review Criteria – Specify Source

The Review Requester will specify another standard or document is being used for the review criteria, the Review Requester identifies the source (e.g., NQA-1-2009a, Subpart 2.14, Paragraph 800, *Documentation*).

### Specific Review Criteria – Attached

The Review Requester will attach the review criteria to Form 13-1 – *Document Review and Comment Record*.

- 6) The Review Requester prints the name of the Document Preparer.
- 7) The Review Requester prints the name of the Review Requester.
- 8) The Review Requester indicates the total number of the reviewers. (e.g., 1 or 2 or 3, etc.)
- 9) The Review Requester prints the Name of the Reviewer(s).
- 10) The Review Requester identifies the Document Reviewer's Organization.
- 11) The Review Requester states the Review Criteria to be used to conduct the review. This section can be used to separate out specific criteria in the case if more than one review is used (e.g., NQA-1 for a Document Reviewer with QA expertise, NARA for a Document Reviewer with Records expertise).
- 12) The Document Reviewer prints their name.
- 13) The Document Reviewer identifies their organization.
- 14) The Document Reviewer fills in the date that they completed their review.
- 15) The Review Requester indicates the Document Revision Number
- 16) The Review Requester specifies the alpha-designator of the draft that represents the concurrence draft.
- 17) The Document Reviewer prints their Name and Signs their signature indicating their comments have been resolved and their review concurrence.
- 18) The Document Reviewer enters the date that they signed their comment resolution and review concurrence.



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## Form 12-1 – Record of Revision

DOCUMENT: AFP-AP-13, *Document Review*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	12/12/2015
1	Revised to clarify para. 8.3.2, 8.3.3, and 8.3.4	4	06/03/2016